



Attorney's Docket No.: 09857-029001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Stuart Serkin et al. Art Unit : 3627  
Serial No. : 09/401,873 Examiner : Jaketic, Bryan J.  
Filed : September 23, 1999  
Title : QUOTE/ORDER PROCESSING IN ELECTRONIC MARKET SYSTEM

Commissioner for Patents  
Washington, D.C. 20231

RESPONSE

In response to the action mailed June 19, 2002, please amend the application as follows:

In the specification:

Please replace the paragraph beginning at page 3, line 4 with the following rewritten paragraph:

Referring to FIG. 1, an electronic market 10 is shown. The electronic market 10 includes client systems 12 that access a central quote/order collector facility 20. The client systems 12 can be broker/dealer systems 12a, electronic communication networks (ECN's) 12b, market-maker(s) system(s) 12c, and other exchanges 12d. The connections can use existing Nasdaq<sup>®</sup> protocols such as SelectNet<sup>®</sup>, Small Order Execution System<sup>®</sup> (SOES<sup>®</sup>), and so forth. The client systems 12 include a processor, memory and a storage device, e.g., a client workstation or personal computer (all not shown) that can include a client process to enter quotes/orders into the electronic market system. The quote/order collector facility 20 causes the order execution or order delivery systems (e.g., SOES<sup>®</sup> and SelectNet<sup>®</sup>) to deliver executions or orders to a market that is coupled to a clearing system 16 and a reporting system 18. It also causes delivery of executions or routing of orders to the ECN's 12c, depending on the status of the ECN, and routing of orders to other markets and exchanges 12d. The quote/order collector facility 20 is comprised of one or preferably a plurality of server computers generally denoted as 22 including

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I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

October 21, 2002  
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